

California Emergency Management Agency



Fiscal Year 2011 Operation Stonegarden Grant Program (OPSG)

***California Supplement
Federal Program Guidance and Application Kit***

June 2, 2011

STATE OF CALIFORNIA

Edmund G. Brown Jr., Governor

California Emergency Management Agency

Mike Dayton, Acting Secretary

Office of Grants Management

Brendan Murphy, Director

Gina Buccieri-Harrington, Assistant Director

Kris M. Whitty, Chief

Infrastructure Protection Grants Section Staff

Renee Mota-Jackson – Section Chief

Scott Sano

Rakesh Sharma

Peter Town

Alice Cedillo

Table of Contents

	Page
Contact Information	4
Section 1 – Application Resources	5
Federal Program Guidance and Updates	5
Investment Justification Template	5
Press Release	5
Fact Sheet	5
Information Bulletins	5
California Supplement	5
Section 2 – Timeline	6
Grant Timeline	6
Section 3 – Overview	7
Funding Availability	7
Grant Performance Period	7
Review Criteria/Evaluation Process	7-8
Award Date	8
Eligible Applicant	8
Eligible Sub-Grantees	8
Total Amount of Funding Available	8
Section 4 – Sub-grant Application Process	9
Operational Orders	9
Operational Order Submittal	9
Eligible Costs	10
Non-Eligible Costs	11
Section 5 – Post DHS Award – Sub-grant Applications	12
Sub-grant Application Components	12
Sub-grant Application Approval	12
Post Award Modifications	12
Sub-grantee Performance Reports	13
Monitoring Sub-Grantee Performance	13
Suspension or Termination	14
Closeout	14
Payment Request Process	15
Financial Management and Reporting Workshops	15

Contact Information

State Administrative Agency (SAA) ****California Emergency Management Agency (Cal EMA)**
Attention: Homeland Security, Prop 1B and Emergency Management Branch
Infrastructure Protection Grants Section
3650 Schriever Avenue
Mather, CA, 95655
(916) 845-8510
(916) 322-9053 Fax

SAA Program Point of Contact (POC) **Scott Sano**
(916) 324-6119
Scott.Sano@calema.ca.gov

U.S. Border Patrol – California POCs **Martin Politron**
Field Operations Supervisor
U.S. Border Patrol – El Centro Sector
(760) 335-5848
Martin.Politron@dhs.gov

Joseph Jones
Supervisory Border Patrol Agent
U.S. Border Patrol – San Diego Sector
(619) 587-2753
Joseph.Jones@dhs.gov

Jason Liebe
Assistant Chief Border Patrol Agent
U.S. Border Patrol – San Diego Sector
(619) 216-4000
Jason.Liebe@dhs.gov

**** Please send in all required documentation to the address above**

Section 1 – Application Resources

Federal Program Guidance and Updates	<p>The U.S. Department of Homeland Security (US DHS)/Federal Emergency Management Agency (FEMA) published the <i>Fiscal Year (FY) 2011 Homeland Security Grant Program(HSGP) Guidance and Application Kit on May 20 2011.</i></p> <p>The <i>Guidance and Application Kit</i> may be obtained at: http://www.fema.gov/pdf/government/grant/2011/fy11_hsgp_kit.pdf</p>
Operational Orders	<p>The template for the Operations Orders can be obtained at: <u>Section A (pgs 56-58) of the FY 2011 Federal HSGP Guidance and Application Kit.</u> Operational Orders are due to Cal EMA no later than June 10, 2011 8:59 pm PST.</p>
Press Release	<p>The US DHS issued a Press Release announcing the <i>FY 2011 HSGP on May 19, 2011.</i></p> <p>The Press Release can be obtained at: http://www.dhs.gov/ynews/releases/pr_1305812474325.shtm</p>
Frequently Asked Questions	<p>The US DHS issued a Frequently Asked Questions (FAQ) Sheet on the <i>FY 2011 HSGP on May 20, 2011.</i></p> <p>The FAQ Sheet can be obtained at: http://www.fema.gov/pdf/government/grant/2011/fy11_hsgp_faq.pdf</p>
California Supplement	<p>The <i>California Supplement</i> to the Federal Program Guidance is intended to complement, rather than replace, the federal guidance published by the US DHS National Preparedness Directorate. It is recommended that applicants read thoroughly the federal guidance before referring to the State Supplement. Funding availability, eligible applicants, allowable costs and other key information is described in the federal guidance and application kit.</p>

Section 2 – Timeline

FY 2011 OPSG Sub-Grantee Timeline	US DHS announcement of FY 2011 OPSG	May 20, 2011
	Deadline to submit Operational Orders to Cal EMA	June 10, 2011
	US DHS Award (no later than)	September 30, 2011
	Grant Performance Period Begins	October 1, 2011*
	Sub-grantee applications due to Cal EMA	November 1, 2011*
	Sub-grantee performance period ends	June 30, 2014*
	Final requests for reimbursement due to Cal EMA	June 30, 2014*

*** Date approximate depending on US DHS award date**

Section 3 - Overview

Funding Availability	<p>The FY 2011 OPSG makes funds available to support U.S. Border states and territories, local units of government at the county level and Federally-recognized tribal governments bordering Mexico, and also, territories with international water borders. The FY 2011 Homeland Security Grant Program (HSGP) will incorporate OPSG similarly to State Homeland Security Grant Program (SHSP), Urban Area Security Initiative (UASI), Metropolitan Medical Response System (MMRS), and Citizen Corp Program (CCP).</p>
Grant Performance Period	<p>Thirty-six (36) months from date of grant award to Cal EMA. However, sub-grantees are required to submit all cash requests to Cal EMA within (33) months from the date of award, or ninety (90) days prior to Federal deadline.</p>
Review Criteria /Evaluation Process	<p>The FY 2011 OPSG will use risk-based prioritization using CBP Sector-specific border risk to include, but not limited to: threat, vulnerability, miles of border, and other border-specific “law enforcement intelligence.” Each applicant’s final funding allocation will be determined by using a combination of the results of the risk analysis and feasibility of the Operations Orders.</p> <ul style="list-style-type: none">• Operations Orders developed at the county level should be inclusive of city, county, tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, with the emphasis on the Executive Summary, Mission, and Budget. This information will be used to evaluate the anticipated feasibility, need, and impact of the Operations Orders (<u>see pages 56-57 of the FY 2011 Federal HSGP Guidance and Application Kit</u>). Operational Orders are due to Cal EMA no later than June 10, 2011 8:59 pm PST.• Applications will be reviewed by the Cal EMA and CBP/BP Sector Headquarters for completeness and adherence to programmatic guidelines as well as operational content prior to submission to FEMA.• Cal EMA and CBP/BP OPSG Program leads will ensure a coordinated approach to maintain application and operations order pre-submission accountability.• For counties or territories near an international water border seeking participation, please contact the P.O.C. for U.S. Border Patrol San Diego Sector (pg. 4).

Review Criteria /Evaluation Process cont.	Following the review by State and CBP/BP Sector Headquarters, each Operations Order will be forwarded for review by a Federal review panel comprised of evaluators from components within FEMA and CBP/BP Headquarters level evaluators.
Award Date	FEMA will evaluate and act on Operations Orders as quickly as possible following the close of the application period. Awards will be made on or before <u>September 30, 2011.</u>
Eligible Applicant	Cal EMA is the State Administrative Agency (SAA) for California and is the eligible grant applicant in the FY 2011 OPSG process.
Eligible Sub-Grantees	Eligible grantees under the FY 2011 OPSG are local units of government at the county level and Federally-recognized tribal governments bordering Mexico, and also, territories with international water borders. Cal EMA is the only entity eligible to apply to FEMA for FY 2011 OPSG funds on behalf of the county or similar level of government and Federally-recognized tribal governments. Eligible territories without a county or similar level of government structure are authorized to accept applications on behalf of the alternative unit of local government. Cal EMA in this situation must advise FEMA in writing as to their intent. <u>Note: Not all applicants are guaranteed to receive funding under the FY 2011 OPSG.</u>
Total Amount of Funding Available	There is \$54,890,000 available, nation-wide, of FY2011 OPSG funding.

Section 4 – Sub-grant Application Process

Operations Order

Eligible border Counties must submit Operational Orders to Cal EMA by June 10, 2011, 8:59 pm PST as shown on the timeline on page six. Please include the Budget within the Operations Orders.

Operational Order Submittal

Information regarding instructions on how sub-grantees will submit Operational Orders to Cal EMA will be released in the near future.

Eligible Costs Operational Overtime (no more than 50 percent of the total award)
Operational costs associated with law enforcement activities, in support of border law enforcement agencies for increased border security enhancement. Per the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412), all grantees are allowed to utilize up to 50 percent of FY 2011 OPSG funding for personnel related costs, which include overtime activities. At the request of the SAA, the Administrator may grant a waiver of the 50 percent limitation.

Fuel Cost and/or Mileage Reimbursement

Travel and Per Diem, and Lodging

Travel and per diem costs associated with the deployment/redeployment of personnel to border areas and for travel associated with law enforcement entities assisting other local jurisdictions in law enforcement activities. Travel costs must be in accordance with applicable travel regulations. In addition, costs to support up to six (6) month deployment of law enforcement personnel to critical Southwest Border locations to support operational activities.

Part Time Personnel

FY 2011 OPSG funds may be used to pay additional current part time law enforcement personnel salaries in order to bring them to full time status.

Vehicle/Equipment Rentals

Vehicle/Equipment Maintenance

Fuel Cost and/or Mileage Reimbursement

There is no cap for reimbursement of operational activities

Activate reserve, state, local, and tribal law enforcement personnel

Backfill

Costs associated with backfill for personnel supporting operational activities.

Law Enforcement Readiness

Use of FY 2011 OPSG funds may be used to increase operational, material, and technological readiness of State, local, Tribal, and territorial law enforcement agencies

Performance Bonds **Sub-grantees must obtain a performance bond for any equipment item over \$250,000 or any vehicle, aircraft, or watercraft, financed with homeland security funds. The performance bond ensures delivery of the item within 90 days of the sub-grantee performance period.**

**Non-Eligible
Costs**

Unallowable Costs

Unallowable costs include costs associated with staffing and general IT computing equipment, and hardware such as personal computers, faxes, copy machines, modems, etc. The FY 2011 OPSG is not intended as a hiring program. Applying funds toward hiring full-time or permanent sworn public safety officers is also unallowable. FY 2011 OPSG funding shall not supplant inherent routine patrols and law enforcement operations or activities not directly related to providing enhanced coordination between local and Federal law enforcement agencies. Finally, construction and/or renovation costs are prohibited under FY 2011 OPSG.

Management and Administrative (M&A) Costs

M&A costs are not allowable under FY 2011 OPSG

Section 5 - Post DHS Award – Sub-grant Application

Sub-grant Application Components

Successful applicants will be required to submit applications to Cal EMA prior to final award of grant funds.

A completed application will include all of the following components.

- **Completed Cal EMA Financial Management Forms Workbook**
 - Submitted to Cal EMA (Mailed) – refer to pg. 4 for mailing address
 - Application Cover Sheet
 - Grant Management Roster
 - Project Ledger
 - Project Description
 - Equipment Inventory Ledger
 - Training Roster
 - Authorized Agent form with appropriate signatures
- **Governing Body Resolution – Mailed**
- **Signed Original Grant Assurances – Mailed**

The **Financial Management Forms Workbook** can be found at <http://www.CalEMA.ca.gov/WebPage/oeswebsite.nsf/Content/72F9BD63CC93B3D38825762000647A97?OpenDocument>

Sub-grant Application Approval

The sub-grantee will receive written notice of Cal EMA approval of the sub-grant application.

Post Award Modifications

Post award budget, scope and time modifications must be requested using the **Cal EMA Financial Management Forms Workbook**, by the sub-grantee's Authorized Agent, and submitted to the sub-grantee's Program Representative in the Infrastructure Protection Grant Unit of Cal EMA. Upon approval the sub-grantee will be instructed to make the required changes in the National Preparedness Directorate's Grants Reporting Tool (GRT) <https://www.reporting.odp.dhs.gov> .

The sub-grantee may implement the modifications, and incur associated expenses, **after** receiving **written final approval** of the modification from Cal EMA.

NOTE: Modifications can be requested once per quarter during the grant performance period. Failure to submit modification requests, and receive written approval prior to expenditure, could result in a reduction or disallowance of that part of the grant.

Sub-grantee Performance Reports Sub-grantees must prepare and submit performance reports to Cal EMA for the duration of the grant performance period, or until all grant activities are completed and the grant is formally closed. Sub-grantees must complete a Biannual Strategy Implementation Report using the Grant Reporting Tool (GRT), at <https://www.reporting.odp.dhs.gov/> and will also be required to submit additional information and data requested by Cal EMA.

Monitoring Sub-grantee Performance Cal EMA is currently conducting a program of sub-grantee monitoring. The monitoring will be conducted on the sub-grantees administrative, programmatic and fiscal management of the grant(s).

These reviews may include, but are not limited to:

- Eligibility of expenditures
- Comparing actual sub-grantee activities to those approved in the sub-grant application and subsequent modifications, if any.
- Ensuring that advances have been disbursed in accordance with applicable guidelines.
- Confirming compliance with:
 - Grant Assurances.
 - Information provided on performance reports and payment requests.
 - Needs and threat assessments and strategies.

Suspension or Termination Cal EMA may suspend or terminate sub-grant funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to expend funds in a timely manner consistent with the grant milestones, guidance and assurances.
- Failing to comply with the requirements or statutory objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the sub-grant application.
- Failing to follow grant agreement requirements or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failing to submit required reports.
- Filing a false certification in the application or other report or document.
- Failing to adequately manage, monitor or direct the grant funding activities of their sub-recipients.

Before taking action, Cal EMA will provide the sub-grantee reasonable notice of intent to impose corrective measures and will make every effort to resolve the problem informally.

Closeout Cal EMA will close a sub-grantee award after:

- Receiving a sub-grantee Performance Report indicating that all approved work has been completed, and all funds have been disbursed;
- Completing a review to confirm the accuracy of reported information; and
- Reconciling actual costs to awards, modifications and payments.

If the closeout review and reconciliation indicates that the sub-grantee:

- Is owed additional funds, Cal EMA will send the final payment automatically to the sub-grantee.
- Did not use all funds received, Cal EMA will issue an Invoice or Grant Modification letter to recover unused funds.

In the **Grant Closeout letter**, Cal EMA will notify the sub-grantee of the start of the record retention period for all programmatic and financial grant related records.

NOTE: Failure to maintain all grant records for the required retention period could result in a reduction of eligible grant activities, and an invoice to return costs associated with the unsupported activities.

**Payment
Request
Process**

To request reimbursement payment of FY 2011 OPSG funds, complete a payment request form using the Cal EMA Financial Management Forms Workbook and return it to the appropriate Program Representative in the Infrastructure Protection Grants Section at Cal EMA.

Cal EMA Financial Management Forms Workbook

<http://www.CalEMA.ca.gov/WebPage/oeswebsite.nsf/Content/72F9BD63CC93B3D38825762000647A97?OpenDocument>

NOTE: Payments can only be made if the sub-grantee has an approved Financial Management Forms Workbook, valid Governing Body Resolution, and valid Grant Assurance form.

**Financial
Management
and Reporting
Workshops**

Cal EMA conducts regular workshops on grants management, financial management and grant reporting. Please contact your Cal EMA Program Representative for more information.